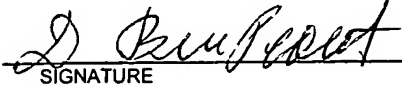


Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>		<b>ATTORNEY'S DOCKET NUMBER</b> <b>53989/DBP/S632</b>
<b>INTERNATIONAL APPLICATION NO.</b> PCT/AU03/00408	<b>INTERNATIONAL FILING DATE</b> 04 April 2003	<b>U.S. APPLICATION NO. (If known, see 37 CFR 1.5)</b> <b>10/516,877</b>
<b>TITLE OF INVENTION</b> WDM MODULE		<b>PRIORITY DATE CLAIMED</b> 03 June 2002
<b>APPLICANT(S) FOR DO/EO/US</b> OWENS, Mark J.; SEILER, Chia; BROWN, Brian Robert; BONWICK, Mark Henry; SCOTT, Quentin; GOH, Robert; HALGREN, Ross; and LAUDER, Richard		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
<p>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</p> <p>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</p> <p>4. <input type="checkbox"/> The US has been elected (Article 31).</p> <p>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> is attached hereto.</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</p> <p>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</p> <p><b>Items 11 to 20 below concern document(s) or information included:</b></p> <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. <b>Express No. EV 326708996 US</b></p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input type="checkbox"/> A preliminary amendment.</p> <p>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: PTO Form SB/08A/B w/7 pages of references</p>		

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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U.S. APPLICATION NO. (if known, see 37 CFR 1.5) <b>10/516,877</b>		INTERNATIONAL APPLICATION NO. <b>PCT/AU03/00408</b>		ATTORNEY'S DOCKET NUMBER <b>53989/DBP/S632</b>	
The following fees have been submitted				<b>CALCULATIONS</b>	<b>PTO USE ONLY</b>
21. <input type="checkbox"/> Basic national fee..... \$300				\$ 0	
22. <input type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)..... \$100 All other situations..... \$200				\$ 0	
23. <input type="checkbox"/> Search fee Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100 International Search Report prepared and provided to the Office..... \$400 All other situations..... \$500				\$ 0	
<b>TOTAL OF 21, 22 and 23 =</b>				\$ 0	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
- 100 =	/50 =		x \$250	\$ 0	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).				\$ 0	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =		x \$ 50	\$ 0	
Independent claims	- 3 =		x \$ 200	\$ 0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 0	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.					
<b>SUBTOTAL =</b>				\$ 0	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$ 0	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				\$	
<b>TOTAL FEES ENCLOSED =</b>				\$ 0	
				Amount to be refunded:	\$
				Amount to be charged:	\$
<p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>031728</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>					
<p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p>					
<p>SEND ALL CORRESPONDENCE TO: <b>Customer No. 23363</b></p> <p>D. Bruce Prout Christie, Parker &amp; Hale, LLP Post Office Box 7068 Pasadena, CA 91109-7068</p>					
				 SIGNATURE	
				D. Bruce Prout NAME	
				20,958 REGISTRATION NUMBER	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NO. EV 326708996 US

Applicant : Mark J. Owens, et al.  
Application No. : 10/516,877  
Filed : December 3, 2004  
Title : WDM MODULE

Confirmation No. 8985

Grp./Div. : 2661  
Examiner : To be determined  
Docket No. : 53989/DBP/S632

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
37 CFR § 1.97(b)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Post Office Box 7068  
Pasadena, CA 91109-7068  
March 30, 2005

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO/SB/08A/B listing the references that are known to applicant. Copies of each of the Foreign Patent Documents and Other Documents are enclosed. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of FORM PTO/SB/08A/B be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

Respectfully submitted,  
CHRISTIE, PARKER & HALE, LLP

By D. Bruce Prout  
D. Bruce Prout  
Reg. No. 20,958  
626/795-9900

DBP/dg  
Enclosures: PTO/SB/08A/B, w/references  
DLG PAS615343.1-\*-03/30/05 2:22 PM

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

<b>Attorney Docket Number</b>	<b>53989/DBP/S632</b>
<b>Application Number</b>	<b>10/516,877</b>
<b>Filing Date</b>	<b>December 3, 2004</b>
<b>Applicant(s)</b>	<b>Mark J. Owens, et al.</b>
<b>Group Art Unit</b>	<b>2661</b>
<b>Examiner Name</b>	<b>To be determined</b>

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	DOCUMENT NUMBER Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
		2001/0015839 A1	08-23-2001	Koh et al
		2002/0030867 A1	03-14-2002	Iannone et al.
		2002/0118411 A1	08-29-2002	Cooney et al.
		2002/0118417 A1	08-29-2002	Barry et al.
		2002/0131692 A1	09-19-2002	Chen et al.
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		4,122,508	10-24-1978	Rumbaugh
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		4,976,527	12-11-1990	Horikawa et al.
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		5,170,336	12-08-1992	Getter et al.
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		5,371,766	12-06-1994	Gersbach et al.
		5,390,164	02-14-1995	Kremer

EXAMINER SIGNATURE	DATE CONSIDERED
<p>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at <a href="http://www.pto.gov">www.pto.gov</a> or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.</p>	

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<b>Group Art Unit</b>	<b>2661</b>
<b>Examiner Name</b>	<b>To be determined</b>

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		5,394,389	02-28-1995	Kremer
		5,406,549	04-11-1995	Kremer
		5,442,622	08-15-1995	Hokari
		5,508,908	04-16-1996	Kazama et al.
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		5,930,016	07-27-1999	Brorson et al.
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		5,953,141	09-14-1999	Liu et al.
		5,959,749	09-28-1999	Danagher et al.

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<b>Group Art Unit</b>	<b>2661</b>
<b>Examiner Name</b>	<b>To be determined</b>

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		5,978,114	11-02-1999	Clark et al.
		5,978,353	11-02-1999	Iwahori et al.
		6,038,129	03-14-2000	Falaki et al.
		6,044,899	04-04-2000	Langley et al.
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		6,236,499 B1	05-22-2001	Berg et al.
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		6,302,704 B1	10-16-2001	Belanger, Jr.
		6,310,772 B1	10-30-2001	Hutchison et al.

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<b>Group Art Unit</b>	<b>2661</b>
<b>Examiner Name</b>	<b>To be determined</b>

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		6,327,062 B1	12-04-2001	King et al.
		6,333,799 B1	12-25-2001	Bala et al
		6,335,992 B1	01-01-2002	Bala et al.
		6,364,541 B1	04-02-2002	Nesnidal et al.
		6,396,978 B1	05-28-2002	Takemura et al.
		6,400,477 B1	06-04-2002	Wellbrook
		6,411,412 B1	06-25-2002	Jiang et al
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		6,522,671 B1	02-18-2003	Solheim et al

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<b>Group Art Unit</b>	<b>2661</b>
<b>Examiner Name</b>	<b>To be determined</b>

**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	<u>DOCUMENT NUMBER</u> Number - Kind Code <sup>2</sup> (If Known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
		6,525,852 B1	02-25-2003	Egnell
		6,535,313 B1	03-18-2003	Fatehi et al
		6,550,016 B1	04-15-2003	Parrish et al.
		6,556,352 B2	04-29-2003	Wang et al.
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		6,631,134 B1	10-07-2003	Zadikian et al
		6,657,951 B1	12-02-2003	Carroll et al.
		6,668,106 B1	12-23-2003	Levine et al

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	<u>Foreign Patent Document</u> Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)
		GB 2 329 291 A	03-17-1999	Kim et al.	
		GB 2 346 280 A	08-02-2000	Spratt	
		EP 0 110 388 B1	10-07-1987	Nagashima et al.	
		EP 0 759 681 A3	05-06-1998	Watanabe et al.	
		EP 0 924 901 A2	06-23-1999	Hayward et al.	
		EP 0 975 105 A2	01-26-2000	Sasaki	
		EP 0 975 105 A3	03-21-2001	Sasaki	
		EP 0 991 217 A2	04-05-2000	Dudley	
		EP 1 005 188 A2	05-31-2000	Harley et al.	
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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

<b>Attorney Docket Number</b>	<b>53989/DBP/S632</b>
<b>Application Number</b>	<b>10/516,877</b>
<b>Filing Date</b>	<b>December 3, 2004</b>
<b>Applicant(s)</b>	<b>Mark J. Owens, et al.</b>
<b>Group Art Unit</b>	<b>2661</b>
<b>Examiner Name</b>	<b>To be determined</b>

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIALS	Cite No. <sup>1</sup>	Foreign Patent Document Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T <sup>6</sup> (✓)
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<b>FORM PTO/SB/08A/B (10-01)</b> Substitute for PTO-1449A/B  <b>INFORMATION DISCLOSURE</b>  <b>STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)	<b>Attorney Docket Number</b>	<b>53989/DBP/S632</b>
	<b>Application Number</b>	<b>10/516,877</b>
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	<b>Examiner Name</b>	<b>To be determined</b>

FOREIGN PATENT DOCUMENTS					
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OTHER DOCUMENTS		
EXAMINER INITIALS	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
		Patent Abstract of Australia, Publication No. AU-A 64865/94, published December 22, 1994
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		<a href="http://www.amcc.com/Compinfo/PressReleases/S3086">http://www.amcc.com/Compinfo/PressReleases/S3086</a> , <i>AMCC Provides Unparalleled Combination of Jitter Performance, Input Sensitivity and Low Power for Metro DWDM Applications with Continuous Rate clock and Data Recovery Device</i> , July 20, 2004, 2 pages
		<a href="http://www.amcc.com/Compinfo/PressReleases/S3062pr">http://www.amcc.com/Compinfo/PressReleases/S3062pr</a> , <i>AMCC Adds Forward Error Correction to its DWDM Multi-Rate Solutions</i> , July 20, 2004, 2 pages.

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